



CALIFORNIA EMERGENCY MANAGEMENT AGENCY

November 02, 2009

Dear County Probation Departments:

The California Emergency Management Agency (Cal EMA), Crime Suppression Section, is pleased to announce the release of the Request for Application (RFA) for the Evidence - Based Probation Supervision Program.

A total of \$44,576,000 is available for local assistance through federal Edward Byrne Memorial Justice Assistance Grant (JAG) program funding provided by the American Recovery and Reinvestment Act (Recovery Act) of 2009. To be considered for funding, a complete application must be submitted to Cal EMA no later than **December 07, 2009 at 5:00 p.m.** Details for the application are included in the RFA.

The goal of the program is to provide evidence-based supervision, programs, or services to adult felon probationers in an effort to reduce the likelihood that they will commit new crimes or other violations and be sent to prison.

Consistent with the strong emphasis on accountability and transparency of the Recovery Act, multiple streams of reporting requirements are included in these grants. Generally speaking, these requirements include: 1) Bureau of Justice Assistance (BJA) JAG Recovery Act Performance Measures; 2) Office of Management and Budget (OMB) Recovery Act reporting requirements, and 3) Evidence - Based Probation Supervision Program requirements. Although supplanting is not allowed by the JAG Recovery Act funds, in order to ensure the ability to comply with these requirements and to meet the original intent of Recovery Act objectives, respondents must also consider staffing positions with this funding.

Should you have questions, please feel free to contact John Thomas, Program Specialist, Crime Suppression Section, at (916) 322-9235 or e-mail at john.thomas@oes.ca.gov.

Sincerely,

Brendan A. Murphy
Director of Grants Management

EVIDENCE - BASED PROBATION SUPERVISION PROGRAM

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EVIDENCE - BASED PROBATION SUPERVISION PROGRAM

PART I – OVERVIEW

- A. INTRODUCTION
 - B. CONTACT INFORMATION
 - C. APPLICATION DUE DATE AND SUBMISSION OPTIONS
 - D. ELIGIBILITY
 - E. FUNDS
 - F. PROGRAM INFORMATION
-

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for California Emergency Management Agency (Cal EMA) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and is accessible on our website at www.CalEMA.ca.gov. Look on the left side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook* or scroll over the “Justice Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*.

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted by telephone, fax, or e-mail to:

John Thomas, Program Specialist
California Emergency Management Agency
Crime Suppression Section
3650 Schriever Avenue
Mather, CA 95655
john.thomas@oes.ca.gov
Phone: (916) 322-9235
Fax: (916) 323-1756

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the application must be delivered to Cal EMA’s Public Safety and Victim Services Programs by the date and time indicated below. Submission options are:

Regular or overnight mail, postmarked by **December 07, 2009** OR hand delivered by 5:00 p.m. on **December 07, 2009** to:

California Emergency Management Agency
Public Safety and Victim Services Programs
3650 Schriever Avenue
Mather, CA 95655

D. ELIGIBILITY

California county probation departments are the only entities eligible to apply for these awards.

E. FUNDS

Funding to support the Evidence - Based Probation Supervision Program (EBPSP) is authorized by the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (the "Recovery Act") and by 42 U.S.C. 3751(a). Cal EMA, as the State Administrative Agency (SAA) in California, was awarded a total of \$135,641,045 under the Recovery JAG Program. Of this amount, \$44,576,000 has been allocated to the EBPSP.

The amount of \$44,576,000 will be made available for this one-time grant program. The grant period will be October 01, 2009 through September 30, 2012. Due to a 36 month grant performance period, the applicant must submit three separate 12-month budgets and a timeline to reflect the 36 month performance period.

All awards under this grant opportunity are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law, unless otherwise expressly authorized in writing by Cal EMA.

Funding will be distributed proportionately to qualifying county probation departments in the State of California that have submitted a complete application based on each county's population of adults 18 to 25 years of age, provided that each county receive a minimum of \$33,000.

COUNTY	TOTAL 18-25 POPULATION	% OF TOTAL 18-25 POPULATION	MINIMUM FUNDS ALLOCATED	REST OF FUNDS ALLOCATED BASED ON % OF TOTAL 18-25 POPULATION	TOTAL ALLOCATION PER COUNTY
Alameda	157,932	3.44%	33,000	1,465,686	1,498,686
Alpine	145	0.00%	33,000	1,346	34,346
Amador	4,782	0.10%	33,000	44,379	77,379
Butte	35,616	0.77%	33,000	330,534	363,534
Calaveras	5,381	0.12%	33,000	49,938	82,938
Colusa	3,223	0.07%	33,000	29,911	62,911
Contra Costa	124,594	2.71%	33,000	1,156,293	1,189,293
Del Norte	4,477	0.10%	33,000	41,549	74,549
El Dorado	20,198	0.44%	33,000	187,447	220,447
Fresno	133,330	2.90%	33,000	1,237,367	1,270,367
Glenn	4,162	0.09%	33,000	38,625	71,625
Humboldt	19,617	0.43%	33,000	182,055	215,055
Imperial	26,443	0.58%	33,000	245,404	278,404
Inyo	2,302	0.05%	33,000	21,364	54,364
Kern	121,395	2.64%	33,000	1,126,605	1,159,605
Kings	23,424	0.51%	33,000	217,386	250,386
Lake	7,295	0.16%	33,000	67,701	100,701
Lassen	6,093	0.13%	33,000	56,546	89,546

Los Angeles	1,202,552	26.16%	33,000	11,160,266	11,193,266
Madera	16,681	0.36%	33,000	154,808	187,808
Marin	25,497	0.55%	33,000	236,625	269,625
Mariposa	1,910	0.04%	33,000	17,726	50,726
Mendocino	11,391	0.25%	33,000	105,714	138,714
Merced	38,296	0.83%	33,000	355,405	388,405
Modoc	1,370	0.03%	33,000	12,714	45,714
Mono	1,688	0.04%	33,000	15,665	48,665
Monterey	53,109	1.16%	33,000	492,877	525,877
Napa	15,607	0.34%	33,000	144,841	177,841
Nevada	11,202	0.24%	33,000	103,960	136,960
Orange	359,499	7.82%	33,000	3,336,325	3,369,325
Placer	38,537	0.84%	33,000	357,642	390,642
Plumas	2,654	0.06%	33,000	24,630	57,630
Riverside	301,068	6.55%	33,000	2,794,057	2,827,057
Sacramento	171,231	3.72%	33,000	1,589,107	1,622,107
San Benito	8,621	0.19%	33,000	80,007	113,007
San Bernardino	293,827	6.39%	33,000	2,726,857	2,759,857
San Diego	362,422	7.88%	33,000	3,363,452	3,396,452
San Francisco	50,924	1.11%	33,000	472,599	505,599
San Joaquin	97,322	2.12%	33,000	903,195	936,195
SanLuisObispo	40,517	0.88%	33,000	376,017	409,017
San Mateo	68,447	1.49%	33,000	635,221	668,221
Santa Barbara	53,796	1.17%	33,000	499,253	532,253
Santa Clara	176,723	3.84%	33,000	1,640,075	1,673,075
Santa Cruz	33,290	0.72%	33,000	308,947	341,947
Shasta	24,053	0.52%	33,000	223,224	256,224
Sierra	469	0.01%	33,000	4,353	37,353
Siskiyou	5,737	0.12%	33,000	53,242	86,242
Solano	53,761	1.17%	33,000	498,928	531,928
Sonoma	58,071	1.26%	33,000	538,927	571,927
Stanislaus	71,751	1.56%	33,000	665,884	698,884
Sutter	12,456	0.27%	33,000	115,598	148,598
Tehama	8,734	0.19%	33,000	81,056	114,056
Trinity	1,813	0.04%	33,000	16,826	49,826
Tulare	64,872	1.41%	33,000	602,044	635,044
Tuolumne	6,945	0.15%	33,000	64,453	97,453
Ventura	101,859	2.22%	33,000	945,301	978,301
Yolo	37,022	0.81%	33,000	343,582	376,582
Yuba	10,825	0.24%	33,000	100,461	133,461
TOTAL	4,596,958	100.00%	1,914,000	42,662,000	44,576,000

F. PROGRAM INFORMATION

The intent of this program is to provide funding to county probation departments for the purpose of providing evidence-based supervision, programs, or services to adult felon probationers with the intent of reducing the likelihood that these probationers will commit new crimes or other violations and be sent to prison.

An evidence-based program for adult probationers is a program where the applicant can identify empirical evidence that the program has been shown to reduce rates of reoffending, rearrest, reconviction, or reincarceration for program participants or that the program is considered a best practice in criminal justice literature. Evidence-based programs for adult offenders include, but

are not limited to: risk and needs assessments, graduated sanctions for probation violators, substance abuse and mental health treatment, employment and training assistance, case management, intensive supervision for high-risk offenders coupled with treatment services, cognitive behavior programs, and program evaluations.

In addition, applicants must also demonstrate how these programs create jobs or retain positions that otherwise may have been cut.

AUTHORIZING FEDERAL LEGISLATION

The American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), was signed into law by President Obama on February 17, 2009. It is an unprecedented effort to jumpstart our economy, create or save millions of jobs, and put a down payment on addressing long neglected challenges so our country can thrive in the 21st century. The Recovery Act is an extraordinary response to a crisis unlike any since the Great Depression, and includes almost \$2 billion in critical resources for state and local law enforcement and other criminal justice activities through the Recovery Justice Assistance Grant (JAG) program.

Consistent with the strong emphasis on accountability and transparency of the Recovery Act, multiple streams of reporting requirements are included in these grants. Generally speaking, these requirements include 1) Bureau of Justice Assistance (BJA) JAG Recovery Act Performance Measures, 2) Office of Management and Budget (OMB) Recovery Act reporting requirements, and 3) EBPSP requirements. In order to ensure the ability to comply with these requirements and to meet the original intent of Recovery Act objectives, respondents must also consider staffing positions with this funding.

Special Conditions

In order to be eligible for Recovery Act JAG funding, recipients must agree to comply with the financial and administrative requirements set forth in the current edition of the Cal EMA Recipient Handbook, this Request for Application (RFA), and any program guidelines developed by Cal EMA.

Further, recipients understand and agree that awards made under the Recovery Act will be ***one-time awards*** and accordingly that it's proposed project activities and deliverables are to be accomplished without additional Cal EMA funding.

Recipients must also adhere to and comply with the following Special Conditions placed on Cal EMA's Recovery JAG award from the Bureau of Justice Assistance (BJA):

1. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, as further described in the current edition of the OJP Financial Guide, Chapter 19.
2. The recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of the Office of Justice Programs (OJP).

3. JAG NEPA - The recipient agrees to assist BJA and Cal EMA in complying with the National Environmental Policy Act (NEPA), the National Historic Preservation Act, and other related federal environmental impact analyses requirements in the use of these grant funds, either directly by the recipient or by a subrecipient. Accordingly, the recipient agrees to first determine if any of the following activities will be funded by the grant, prior to obligating funds for any of these purposes. If it is determined that any of the following activities will be funded by the grant, the recipient agrees to contact Cal EMA.

The recipient understands that this special condition applies to new activities whether or not they are being specifically funded with these grant funds. That is, as long as the activity is being conducted by the recipient, a subrecipient, or any third party and the activity needs to be undertaken in order to use these grant funds, this special condition must first be met.

The activities covered by this special condition are:

- (a) new construction;
- (b) minor renovation or remodeling of a property located in an environmentally or historically sensitive area, including properties located within a 100-year flood plain, a wetland, or habitat for endangered species, or a property listed on or eligible for listing on the National Register of Historic Places;
- (c) a renovation, lease, or any proposed use of a building or facility that will either;
 - (1) result in a change in its basic prior use; or
 - (2) significantly change its size;
- (d) implementation of a new program involving the use of chemicals other than chemicals that are:
 - (1) purchased as an incidental component of a funded activity; and
 - (2) traditionally used, for example, in office, household, recreational, or education environments; and,
- (e) implementation of a program relating to clandestine methamphetamine laboratory operations, including the identification, seizure, or closure of clandestine methamphetamine laboratories.

The recipient understands and agrees that complying with NEPA may require the preparation of an Environmental Assessment and/or an Environmental Impact Statement, as directed by BJA and Cal EMA. The recipient further understands and agrees to the requirements for implementation of a Mitigation Plan, as detailed at <http://www.ojp.usdoj.gov/BJA/resource/nepa.html>, for programs relating to methamphetamine laboratory operations.

Application of this Special Condition to Grantee's Existing Programs or Activities: For any of the recipient's or its subrecipient's existing programs or activities that will be funded by these grant funds, the recipient or subrecipient, upon specific request from BJA/Cal EMA, agrees to cooperate with any preparation by BJA/Cal EMA of a national or program environmental assessment of that funded program or activity.

4. JAG data collection – The grantee agrees to comply with all reporting, data collection and evaluation requirements, as prescribed by law and detailed by the BJA and Cal EMA in program guidance for the Justice Assistance Grant (JAG) Program.

5. Access to Records:
 - (a) The recipient understands and agrees that DOJ [including OJP and the Office of the Inspector General (OIG)], and its representatives, and the Government Accountability Office (GAO), shall have access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to this Recovery Act award, including such records of any subrecipient, contractor, or subcontractor.
 - (b) The recipient also understands and agrees that DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any subrecipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award.
6. Separate Tracking and Reporting of Recovery Act Funds and Outcomes – The recipient agrees to track, account for, and report on all funds from this Recovery Act award (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including DOJ award funds from non-Recovery Act awards awarded for the same or similar purposes or programs. (Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of Recovery Act funds must be separate.)

Accordingly, the accounting systems of the recipient and all subrecipients must ensure that funds from this Recovery Act award are not commingled with funds from any other source.

The recipient further agrees that all personnel (including subrecipient personnel) whose activities are to be charged to the award will maintain timesheets to document hours worked for activities related to this award and non-award-related activities.

7. Reporting and Registration Requirements under Section 1512 of the Recovery Act:
 - (a) This award requires the recipient to complete projects or activities which are funded under the Recovery Act and to report on the use of Recovery Act funds provided through this award. Information from these reports will be made available to the public;
 - (b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act; and,
 - (c) Recipients and their subrecipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.
8. Provisions of Section 1512(c) – The recipient understands that Section 1512(c) of the Recovery Act provides as follows:

Recipient Reports – Not later than 10 days after the end of each calendar quarter, each recipient that receives Recovery Act funds from a Federal agency shall submit a report to that agency that contains:

- (a) the total amount of Recovery Act funds received from that agency;
- (b) the amount of Recovery Act funds received that were expended or obligated to projects or activities;

- (c) a detailed list of all projects or activities for which Recovery Act funds were expended or obligated, including:
 - (1) the name of the project or activity;
 - (2) a description of the project or activity;
 - (3) an evaluation of the completion status of the project or activity;
 - (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity;
 - (5) for infrastructure investments made by state and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under the Recovery Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment; and
- (d) detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of the Office of Management and Budget.

9. Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct – The recipient must promptly refer to the DOJ OIG any credible evidence that a principal, employee, agent, contractor, subrecipient, subcontractor, or other person has either 1) submitted a false claim for Recovery Act funds under the False Claims Act; or 2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Recovery Act funds. This condition also applies to any subrecipients. Potential fraud, waste, abuse, or misconduct should be reported to the OIG by –

Mail: Office of the Inspector General
U.S. Department of Justice
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, DC 20530

E-mail: oig.hotline@usdoj.gov

Hotline: (contact information in English and Spanish): (800) 869-4499

Or Hotline Fax: (202) 616-9881

Additional information is available from the DOJ OIG website at www.usdoj.gov/oig.

10. Protecting State and Local Government and Contractor Whistleblowers (Recovery Act, Section 1553) – The recipient recognizes that the Recovery Act provides certain protections against reprisals for employees of non-Federal employers who disclose information reasonably believed to be evidence of gross mismanagement, gross waste, substantial and specific danger to public health or safety, abuse of authority, or violations of law related to contracts or grants using Recovery Act funds. For additional information, refer to Section 1553 of the Recovery Act. The text of Recovery Act is available at www.ojp.usdoj.gov/recovery.

11. Limit on Funds (Recovery Act, Section 1604) – The recipient agrees that none of the funds under this award may be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.
12. Misuse of award funds – The recipient understands and agrees that misuse of award funds may result in a range of penalties, including suspension of current and future funds, suspension or debarment from federal grants, recoupment of monies provided under an award, and civil and/or criminal penalties.
13. Additional Requirements and Guidance – The recipient agrees to comply with any modifications or additional requirements that may be imposed by law and future OJP (including government-wide) guidance and clarifications of Recovery Act requirements.
14. Delinquent section 1512(c) reports – The recipient acknowledges that it has certified that it will comply with all reporting requirements under Section 1512(c) of the Recovery Act. (An online reporting mechanism is anticipated to be available for award recipient use by October 10, 2009.) Further to this certification, a failure to comply with the Section 1512(c) reporting requirements may, in addition to other penalties, subject the recipient to the following:
 - (a) After failure to report Section 1512(c) data for two consecutive reporting periods, the recipient may be - (1) precluded from drawing down funds under any OJP award, and/or (2) deemed ineligible for future discretionary OJP awards, until such time as the recipient becomes current in its Section 1512(c) reporting obligations; and
 - (b) After failure to report Section 1512(c) data for three consecutive reporting periods, the recipient, upon written demand of the Director of BJA, shall return to OJP any unexpended award funds (including any unexpended interest earned on award funds) within 15 calendar days of the date of the demand notice. Thereafter, the recipient's award shall be converted to a cost-reimbursable grant until such time as the recipient becomes current in its section 1512(c) reporting obligations, and remains current for not less than two additional consecutive reporting periods.

Use of Funds

Recipients may utilize Recovery JAG funds for state and local initiatives, technical assistance, training, personnel, equipment, supplies, contractual support, and information systems for criminal justice, as well as research and evaluation activities that will improve or enhance law enforcement programs related to criminal justice. Some examples include: prosecution and court programs; prevention and educations programs; corrections and community corrections programs; drug treatment and enforcement programs; planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize state and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

Recovery JAG funds may not be expended outside of the JAG purpose areas. Even within the purpose areas, however, Recovery JAG funds may not be used directly or indirectly for security enhancements or equipment to nongovernmental entities not engaged in criminal justice or public safety. In addition, no Recovery JAG funds may be used directly or indirectly to provide for any of the following matters unless the U.S. Attorney General certifies, in advance, that extraordinary and exigent circumstances exist, making them essential to the maintenance of public safety and good order: vehicles (excluding police cruisers); vessels (excluding police boats); aircraft (excluding police helicopters); luxury items; real estate; construction projects (other than penal or correctional institutions); and any similar matters.

Non-Supplanting of State and Local Funds

Recipients must use federal funds to supplement existing State and local funds for program activities and must not replace (supplant) State or local funds that they have appropriated or allocated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations may result in a range of penalties, including suspension of current and future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under a grant, and civil and/or criminal penalties.

Registration

The registration process for organizations includes: (1) Obtaining a Data Universal Numbering System (DUNS) number; and (2) Registering your organization with the Central Contractor Registration (CCR) database. Each recipient is required to obtain a DUNS number and register with the Central Contractor Registration (CCR) no later than the due date of the first quarterly report after the award is made.

A DUNS number is required: All applicants must include a DUNS (Data Universal Numbering System) number in their application. Applications without a DUNS number are incomplete.

A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, simple, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://fedgov.dnb.com/webform/displayHomePage.do>.

Central Contractor Registration (CCR) is required: In addition to the DUNS number requirement, the Bureau of Justice Assistance (BJA) requires that all applicants (including subrecipients) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR registration at least once per year to maintain an active status. Information about registration procedures can be accessed at www.ccr.gov.

FEDERAL REPORTING REQUIREMENTS

Accountability and Transparency under the Recovery Act - Separate Tracking and Reporting of Recovery Act Funds and Outcomes

Consistent with the special purposes and goals of the Recovery Act, and its strong emphasis on accountability and transparency, it is essential that all funds from a Recovery Act grant be tracked, accounted for, and reported on separately from all other funds (including State and Federal grant funds from non-Recovery Act grants awarded for the same or similar purposes or programs). Recipients must also be prepared to track and report on the specific outcomes and benefits attributable to use of Recovery Act funds. The accounting systems of all recipients and subrecipients must ensure that funds from any award under this Recovery Act solicitation are not commingled with funds from any other source.

Misuse of grant funds may result in a range of penalties, including suspension of current and future funds, suspension or debarment from grants, recoupment of monies provided under a grant, and civil and/or criminal penalties.

Quarterly Financial and Programmatic Reporting

Consistent with the Recovery Act emphasis on accountability and transparency, reporting requirements under Recovery Act grant programs will differ from and expand upon standard reporting requirements for grants. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted to the Office of Management and Budget (OMB) within 10 days of the end of each calendar quarter. Receipt of funds will be contingent on meeting the Recovery Act reporting requirements.

Reporting Due Dates

In order for Cal EMA to meet the quarterly financial and programmatic reporting requirements set forth under the Recovery Act, subrecipient quarterly financial and programmatic reporting will be required, and is due within 15 calendar days after the end of each Cal EMA quarter outlined below:

OMB Financial and Programmatic Reporting Periods	Due Dates
September 1 - November 30	December 15
December 1 - February 28	March 15
March 1 - May 31	June 15
June 1 - August 30	September 15

Information from grant recipient reports will be posted on public websites at both the State and Federal level. Recipients may access California's recovery website at: www.Recovery.ca.gov, and the Federal recovery website at www.Recovery.gov. Recovery Act recipients may expect that the information posted by both State of California and BJA will identify recipients that are

delinquent in their reporting. **Therefore, no extensions will be granted to the above reporting due dates.**

In addition, recipients who do not submit required reports by the above due dates may be subject to other appropriate actions by Cal EMA, including, but not limited to, suspension or termination of the Recovery Act award, and restrictions on eligibility for future Cal EMA awards.

Recipients may expect that a standard form and/or reporting mechanism will be available and is discussed, in detail, under “**Reporting Requirements – Office of Management and Budget**” beginning on page 10 and under “**Performance Measures – Bureau of Justice Assistance**” beginning on page 15. Additional instructions and guidance regarding any new reporting requirements will be provided as they become available.

By accepting a Recovery JAG award from Cal EMA, all recipients agree to meet any additional reporting requirements placed on the Recovery JAG funds by the Office of Management and Budget and/or the Bureau of Justice Assistance.

Reporting Requirements – Office of Management and Budget

Consistent with the special purposes and goals of the Recovery Act, and its strong emphasis on accountability and transparency, all funds under the Recovery JAG Program must be tracked, accounted for, and reported on separately from all other funds (including funds from non-Recovery Act grants awarded for the same or similar purposes or programs). Recipients must also be prepared to track and report on the specific outcomes and benefits attributable to use of Recovery JAG funds. The accounting systems of all recipients and sub-recipients must ensure that funds from any award under the Recovery JAG solicitation are not commingled with funds from any other source.

To assist in fulfilling the accountability objectives of the Recovery Act, as well as Cal EMA's responsibilities to the Bureau of Justice Assistance under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measure the results of their work (see attachment). In addition, applicants must discuss their data collection methods in their application. The following are **required** measures for awards made under the Recovery Act which will be provided to the Office of Management and Budget:

Objective	Performance Measures	Data the grantee provides for 3-month reporting period	Description (Plain language explanation of what exactly is being provided)
Recovery Act: Preserving jobs	Number of jobs saved (by type) due to Recovery Act funding.	a) How many jobs were prevented from being eliminated with the Recovery Act funding during this reporting period? b) How many jobs that	An unduplicated number of jobs that would have been eliminated if not for the Recovery Act funding during the three-month quarter. Report this data for each position only once during the grant. A

		were eliminated within the last 12 months were reinstated with Recovery Act funding?	job can include full time, part time, contractual, or other employment relationship.
Recovery Act: Creating jobs	Number of jobs created (by type) due to Recovery Act funding.	How many jobs were created with Recovery Act funding this reporting period?	An unduplicated number of jobs created due to Recovery Act funding during the three month quarter. Report this data for each position only once during the grant. A job can include full time, part time, contractual, or other employment relationship.

NOTE: In addition, new performance measures specific to the JAG Program have been developed by the Bureau of Justice Assistance with input from criminal justice members in the field. These performance measures can be found at www.ojp.usdoj.gov/BJA/grant/JAG_Measures.pdf, and are also attached for your reference.

Reporting Basics

All Recovery Act funded recipients are required to report under Section 1512(c) of the Recovery Act:

- All entities that receive awards directly from DOJ (i.e., prime recipients); and
- Subrecipients who have been delegated reporting responsibilities by their prime recipient.

Section 1512 (c) requires reporting of the following information:

- Total amount of Recovery Act funds received and the amount spent on projects and activities;
- List of projects and activities funded by name to include: description, completion status, and estimates on jobs created or retained; and
- Details about subawards and subcontracts.

Reporting Jobs Data

Section 1512(c) requires recipients to report on the **total number of jobs “created”** or **“retained”** through the Recovery Act funding, including:

- Paid positions that are new or existing vacant positions that are filled as a result of Recovery Act funding;

- An existing position for which recipients have documentation that the positions would have been eliminated if not for Recovery Act funding;
- Any position using Recovery Act funding after a lay-off occurred; and
- Recovery Act-compensated overtime for created, retained, or existing positions.

Two Fields: Numeric and Description

- Number of jobs: Total number of jobs created and retained, in Full Time Equivalents (FTEs); and
- Description of jobs created/retained: Details the employment impact of jobs created and retained.

Recipients must submit a narrative that describes the jobs impact of their award/project. The narrative description should use the following labor categories to classify jobs created and/or retained:

- Law enforcement
- Detention, probation, parole, and community corrections
- Policy/research/intelligence
- Community/social/victim services
- Courts/prosecution, defense, and civil attorneys
- Training and technical assistance

Supporting Documentation

Recipients must maintain auditable documentation supporting all reported data, including jobs data. Documentation should provide evidence that:

- 1) Created/retained positions and overtime hours are funded by Recovery Act awards;
- 2) Personnel are directly supporting Recovery Act projects and activities; and
- 3) Positions meet the criteria for “created/retained” positions and overtime hours.

Recommended Documentation		
Created Jobs	Retained Jobs	Overtime
<ul style="list-style-type: none"> • Old and new organizational charts • New position descriptions • Jobs postings, offer letters and acceptance forms • Staffing lists • Timecards and payroll records 	<ul style="list-style-type: none"> • Budget comparisons and/or projections before and after the Recovery Act award date • Formal layoff recommendations and retractions (memos, reports) • Minutes of formal meetings where official budget decisions are made • Timecards and payroll records • Employee activity reports 	<ul style="list-style-type: none"> • Timecards and payroll records • Employee activity reports

Calculating Numeric Jobs Data

How do I report Recovery Act funded created and retained jobs?

- Jobs should be reported as “Full-Time Equivalents” (FTEs); and
- An FTE is calculated as the total hours worked in jobs created or retained jobs divided by the number of hours in a full-time schedule.

FTEs: What Counts?

Do Count

- Hours worked by Recovery Act funded new and retained employees:
 - Compensated employees working in the U.S. or its “outlying areas”;
 - Employees of the recipient or subrecipient, including personnel hired through a 3rd party (e.g. staffing or temp agency);
 - Employees of certain vendors (more below);
 - Paid leave (CTO, vacation/sick leave, etc.);
- Recovery Act-funded overtime for created, retained or other positions; and
- Hours worked on or after the award date.

Do Not Count

- Existing Positions: Standard hours for existing positions funded with Recovery Act dollars that do **not** meet the criteria for “created” or “retained”;
- Support Positions: Positions that are **not directly funded by the Recovery Act** but are necessary to support the corresponding increase in activity (e.g. accounting or HR staff funded through indirect); and
- Indirect/Induced Jobs: Retail transactions and contracts with service providers that do not require dedicated personnel or single purchases of less than \$500,000 from an individual manufacturer or supplier.

In addition, attached is the California ARRA and Accountability Tool (CAAT) Subrecipients Reporting of OMB Data for Recovery JAG Programs Excel spreadsheet which needs to be filed out and emailed to your program specialist no later than December 15th, March 15th, June 15th, and September 15th. This spreadsheet will assist in the collection of data required under the Recovery Act, the Federal Transparency Act, and California’s Transparency Act.

REVIEW AND RELEASE OF DATA

Scope of Data Quality Reviews

- Accuracy, Completeness, and Timely Reporting
- Avoidance of Material Omissions
Instances where required data is **not reported or reported** information is not otherwise responsive to data requests resulting in significant risk that **the public is not fully informed** as to the status of the project or activity.
- Avoidance of Significant Report Errors
Instances where required data is **not reported accurately** and such erroneous reporting results in significant risk that **the public will be misled or confused** by the recipient report in question.

Cal EMA Review - Internal Controls

- Data review protocol or automated process that identifies incongruous results (e.g., total amount spent on a project or activity is equal to or less than the previous reporting);
- Cross-validation of data to identify and/or eliminate potential “double counting” due to delegation of reporting responsibility to subrecipient;
- Control totals (e.g., total number of projects subject to reporting, total dollars allocated to projects) and verifying that reported information matches the established control totals; and
- Estimated distribution of expected data along a “normal” distribution curve and identifying outliers.

Cal EMA – Data Quality Checks

Verify control information

- Number of submissions does not exceed number of unique subrecipients; and
- Amount of subawards reported does not exceed total of prime award made.

Check for material omissions

- Data are not reported (e.g., percent of project completed, estimated number of jobs).

Check for reporting errors

- Subrecipient reports 100% project completion, but has received minimal funding;
- Subrecipient reports expenditures in excess of total amount of subaward; and
- Reported values show a decrease from a prior reporting period.

Look for outliers

- Expended amounts reported by subrecipients are significantly over or under anticipated amounts; and
- Number of jobs created falls well outside the range of the number of jobs created for awards of similar value and purpose.

Verify Correct Identifying Data

- Correct federal DOJ award number; and
- Correct DUNS number.

Data Release

Final data will be publicly released on the Federal Recovery website at www.recovery.gov and on California’s Recovery website at www.recovery.ca.gov no later than the 30th day;

- Draft data may be released as early as the 11th day;
- Reports will indicate Federal Agency review status:

- Not Reviewed by Federal Agency;
- Reviewed by Federal Agency, no material omissions or significant reporting errors identified; and
- Reviewed by Federal Agency, material omissions or significant reporting errors identified.

NOTE: Uncorrected data instances will be made public on the Federal Recovery website at www.recovery.gov and on California's Recovery website at www.recovery.ca.gov. Recipients are responsible for the quality of their data.

Performance Measures – Bureau of Justice Assistance

JAG Programmatic Performance Measures are customized dependent on activity type within each purpose area. Recipients will report on performance measures for only those activities funded by Recovery dollars. Recipients are not required to report on all BJA programmatic performance measures, only those applicable to your project's focus. Please note these are draft measures and may change slightly based on feedback from the field and the Office of the Inspector General (OIG). These programmatic measures will be collected by Cal EMA quarterly 15 DAYS after the end of the quarter in the Bureau of Justice Assistance's (BJA) new online Performance Measurement Tool (PMT).

Cal EMA will be delegating reporting responsibility to its subrecipients for reporting data in BJA's Performance Measurement Tool (PMT). Each recipient will be issued a user ID and password which will allow for direct reporting of JAG Performance Measures in BJA's PMT.

In addition, Cal EMA has included performance measures within this RFA which are over and above the BJA performance measures. The Cal EMA performance measures will be collected separately from the BJA performance measures and reported directly to Cal EMA via quarterly progress reports.

Therefore, each recipient must:

- Maintain supporting documentation used to compile reporting data; and provide copies to Cal EMA as requested;
- Develop a system to collect and report performance measures before the reporting period due date; and
- Crosscheck all data records before reporting in the PMT to prevent significant reporting errors.

PMT Reporting Schedule: Performance measure reporting will be completed on a quarterly basis as follows:

ARRA JAG Reporting Schedule		
Reporting Period	Type of Data Required	PMT Due Date
July 1 – September 30	Program Performance Measures and Narrative	October 15
October 1 – December 31	Program Performance Measures	January 15
January 1 – March 31	Program Performance Measures	April 15

April 1 – June 30	Program Performance Measures	July 15
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NOTE: Uncorrected data instances will be made public on the Federal Recovery website at www.recovery.gov and on California’s Recovery website at www.recovery.ca.gov. Recipients are responsible for the quality of their data.

Additional Requirements Related to the Recovery Act: *All Recovery Act JAG funded recipients will be required to follow any applicable provisions of government-wide guidance that may be issued in the future, pursuant to the Recovery Act.*

Reporting Fraud, Waste, Error and Abuse

Each recipient awarded funds made available under the Recovery Act is to promptly refer to an appropriate inspector general any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has submitted false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Recovery Act funds.

You may report potential fraud, waste, abuse, or misconduct to the U.S. Department of Justice, Office of the Inspector General (OIG) by –

mail: Office of the Inspector General
U.S. Department of Justice
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, DC 20530

e-mail: oig.hotline@usdoj.gov

hotline: (contact information in English and Spanish): (800) 869-4499

or hotline fax: (202) 616-9881

Additional information is available from the DOJ OIG web site at www.usdoj.gov/oig/.

The Recovery Act provides certain protections against reprisals for employees of non-Federal employers who disclose information reasonably believed to be evidence of gross management, gross waste, substantial and specific danger to public health or safety, abuse of authority, or violations of law related to contracts or grants using Recovery Act funds. For additional information, refer to section 1553 of the Recovery Act.

Suspension or Termination of Funding

Cal EMA may suspend funding in whole or in part, terminate funding, or impose other sanctions on a recipient for the following reasons:

- Failing to comply substantially with the requirements or statutory objectives of the appropriate Act, program guidelines issued there under, or other provisions of federal law;
- Failing to make satisfactory progress toward the goals, objectives, or strategies set forth in the application;
- Failing to adhere to the requirements in the agreement, standard conditions, or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failing to submit reports; and
- Filing a false certification in this application or other report or document.

Before imposing sanctions, Cal EMA will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt to resolve the problem informally. Please refer to the most current edition of the Recipient Handbook, Section 12000, for specific information pertaining to Cal EMA's policy with respect to the withholding, disallowance, reduction, termination, and/or denial of grant funds.

Non-profit organizations

In all OJP funded programs for which nonprofit organizations are eligible recipients or subrecipients, with the exception of those funded under authority of the Juvenile Justice and Delinquency Prevention Act, it is Department of Justice policy that an organization can demonstrate its non-profit status in any one of four methods:

- 1) submission of proof of 501(c)(3) status from the Internal Revenue Service;
- 2) submission of a statement from the State taxing authority or State Secretary of State, or other similar official certifying that the organization is a nonprofit operating within the State, and that no part of its net earnings may lawfully benefit any private shareholder or individual;
- 3) submission of a certified copy of the applicant's certificate of incorporation or similar document; or
- 4) submission of any item above, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.

For-Profit Organizations

For-profit organizations that receive grant funds under Recovery Act JAG should be aware that additional special conditions are placed on awards to such organizations. Among other things, commercial organizations must agree not to make a profit as a result of an award and not to charge a management fee for the performance of an award. Also, commercial organizations must agree to comply with the contract cost principles of subpart 31.2 of the Federal Acquisition Regulations.

Government Performance and Results Act (GPRA)

Awardees must collect data (on a quarterly, semi-annually, or annual basis, as requested) appropriate for facilitating compliance with reporting requirements established by Public Law 103-62, the Government Performance and Results Act. The funding recipient must ensure that

valid and auditable source documentation is available to support all data collected for each performance measure specified in the program solicitation.

Federal Funding Accountability and Transparency Act (FFATA) of 2006

Applicants that receive a Recovery Act award should be aware of the requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006, which calls for the establishment of a single searchable website that is accessible by the public and includes the following information for each Federal award:

- (1) The name of the entity receiving the award;
- (2) The amount of the award;
- (3) Information on the award including the transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source, and an award title descriptive of the purpose of each funding action;
- (4) The location of the entity receiving the award and primary location of performance under the award, including the city, state, congressional district, and country;
- (5) A unique identifier of the entity receiving award and of the parent entity of the recipient, should the entity be owned by another entity; and
- (6) Any other relevant information specified by OMB.

Direct grant award information must be collected starting in FY 2007 and available for disclosure beginning in January 2008; subrecipient award data must be available beginning in January 2009. OJP will be responsible for collecting recipient information and providing it to the public website, using data provided by recipients through grants.gov and the Grants Management System. Additional information regarding these requirements will be provided when available. For updates, please visit the FFATA website at www.fedspending.gov.

EVIDENCE - BASED PROBATION SUPERVISION PROGRAM

PART II – INSTRUCTIONS

- A. PREPARING AN APPLICATION
 - B. PROJECT NARRATIVE
 - C. PROJECT BUDGET
 - D. APPLICATION APPENDIX
-

A. PREPARING AN APPLICATION

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in Part IV of this RFA or on our website at www.CalEMA.ca.gov. The forms must be printed on plain white 8½" x 11" paper for the application. The Project and Budget Narrative templates provided on the website are formatted to Cal EMA standards. If you create your own Project and/or Budget Narrative forms, the format must duplicate the Cal EMA templates and not allow for more space than provided by Cal EMA. If a space limitation is specified for a component, strict adherence to the space limitation is required.

Please provide the ten required application components in the order listed below:

- Grant Application Cover Sheet (included in Part IV);
- Grant Award Face Sheet (Cal EMA 2-101);
- Recovery Act Special Condition Certification;
- Project Contact Information (Cal EMA 2-102);
- Signature Authorization and Instructions (Cal EMA 2-103);
- Certification of Assurance of Compliance – Recovery Act (Cal EMA 2-104);
- Federal Grant Funds Log (Cal EMA 2-105);
- Project Narrative (Cal EMA 2-108);
- Project Budget (Including the Budget Narrative (Cal EMA 2-107);
- Budget Forms (Cal EMA 2-106 a-c); and
- Application Appendix (refer to Part II, D).

NOTE: Pay special attention to the required forms. Failure to submit the correct forms will result in the application being returned.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind the application.***

B. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, and the plan to address the identified problem through appropriate and achievable objectives and activities.

The project narrative is divided into three sections: (1) Problems Statement, (2) Plan, and (3) Implementation.

1. Problem Statement

The purpose of the problem statement is to persuasively illustrate the applicant's current needs and the problem to be addressed. Applicants should provide a description of their service area. Using statistical data and other sources of information, projects should outline their need for funding and how this funding opportunity will help your county's implementation of this EBPSP. In this section, please also describe how jobs will be created or retained through use of these funds.

2. Plan

This section of the application should thoroughly describe the applicant's plan to address the problem. For example, applicants should describe how they will implement an evidence-based program for adult probationers that will demonstrate a reduction in the rate of reoffending, rearrest, reconviction, or reincarceration for program participants. The applicant should also address the plan for determining case eligibility and what criteria they will use to make that determination (including how the applicant will determine appropriate supervision, programs, and services to be provided to eligible probationers).

Applicants must demonstrate how these grant funds will enable them to provide a comprehensive model of evidence-based service deliveries that will coordinate the various existing resources and address the gaps in critical services within their geographic area. Applicants must describe the roles and responsibilities of program staff, and explain the program's organizational structure and operations. Applicants must demonstrate their ability to work in coordination with other related projects, where applicable.

3. Implementation

In this section, the applicants must provide an overview of the components of the program that your county plans to implement for the thirty-six month performance period (in twelve-month increments), which may include, for example:

Objectives and activities regarding implementation of risk and needs assessments, graduated sanctions for probation violators, substance abuse and mental health treatment, employment and training assistance, case management, intensive supervision for high-risk offenders coupled with treatment services, cognitive behavior programs, and program evaluation.

a) Operational Description

Provide a narrative that describes the relationship between all project staff and participating agencies in relation to the overall project. For all applicants, describe the project's overall organizational framework, listing all funded, non-funded, and donated positions assigned to the project.

b) Organizational Chart

The Application Appendix must contain a **current** organizational chart. It must show the relationships between the governing body, the organization, the project, the project staff, and the project volunteers. Position titles and percentage of funding for each position listed on the organizational chart must match with those positions listed, and percentage of funding for each position, on the actual budget pages for this program.

c) Operational Agreement

Applicants must formalize partnerships with organizations and/or entities through a signed Memorandum of Understanding (MOU), or otherwise referred to as an Operational Agreement (OA). Cal EMA *Recipient Handbook* section 4100 et seq. defines an OA as a formal agreement between a Recipient and one or more participating agencies. OAs must: (1) describe plans for coordination of services; (2) identify who provides which services; (3) specify what those services are; (4) describe the methods to assure quality of services; (5) describe the plan for cross training and cross referring; (6) describe the method of payment (i.e. invoices) to participating agencies; (7) be effective for the duration of this grant period (grant ends September 30, 2012); and (8) be signed and dated by all parties, **even if the agencies and/or organizations are not funded by this program.**

Submit the Operational Agreement Summary Form and include it in the Application Appendix. List those agencies, organizations, and individuals in the applicant's service area with whom the project has Operational Agreements (OAs) for FY 2009/2010 and the length of those agreements.

Cal EMA will accept photocopied signatures on the Operational Agreements, but the **Original** OA with original signatures of those representing the following disciplines must be on file at the project and be available for review upon a Site or Monitoring visit. A sample OA can be accessed by clicking on the following link: [Operational Agreement](#).

4. Goals, Objectives, Activities, and Performance Measures:

a) Goals – Utilizing the issues that were identified and prioritized in the Problem Statement, specify the goals of the project.

A goal is the largest overall effect that your program has on your community. Goals may be multiple in nature and may differ from one county to another. Each goal should be presented with all of its accompanying objectives, key activities, and performance measures.

What is (are) the goal(s) of the project? Overall goal(s) may be broad in scope and long in duration. There may be underlining goals as steps to achieve the overall goal(s).

- b) Objectives – Objectives focus on the methods that will be used to address the problem.

They should be clearly stated, realistic, and **measurable**. They should reflect the project description and support the achievement of the project goals.

Describe in detail the objectives that will be implemented to achieve the goals. Each objective must also be linked to one or more corresponding performance measures.

- c) Activities – Are the key operational elements of the program.

Activities occur in support of the achievement of objectives. Activities must be specific, detailed enough to determine effectiveness, and must be reflective of the budget.

Describe in detail the activities that will be undertaken in order to accomplish each objective. Activities must be specific and **measurable**.

- d) Performance Measures – Performance measures must be clearly identified, results oriented and reasonably attainable. Use the following **definitions** to assist in your response:

Output – The amount of work done; must be quantifiable (numbers projected and numbers achieved). Enter specific numbers, not percentages and not a range of numbers.

Output Measures – A measure of the volume of something actually produced; counts the goods and services produced (workload).

Outcome – The results of activities designed to accomplish the project's goal(s) and demonstrate a change.

Outcome Measure – The unit of measurement used to evaluate the success of an outcome; measures the actual impact or public benefit of a project's actions. For outcome measures, the initial year may consist of collecting baseline data.

Determine how the impact of the plan (project) can be assessed. The measurements for each objective may be a combination of outputs and outcomes. Based on federal requirements, Cal EMA has moved from output measures alone, to incorporate outcome measures. Outcome measures can illustrate the effects/impact of the project efforts. If you eliminate the identified problem, what would or would not happen? Once the anticipated effects have been determined, baseline data needs to be established to measure program effectiveness over time. Recipients will be required to submit output/outcome data in progress reports.

This section of the application describes the objectives and activities the applicant will work to achieve when fulfilling the goals of the program. Under each objective listed below, describe the activities that will be undertaken by the awarded project toward achieving the

anticipated results (goals) during the course of the 36-month grant award period. Under each objective, describe the activities that the project will take in addition to the predicted results that will be achieved during the grant award period. **Note: objectives and activities implemented for this grant award period must be comprehensive, measurable and realistic.**

Applicants must also commit to working with the Administrative Office of the Courts (AOC) to develop methods of defining, tracking, and reporting output and outcome measures that include, but are not limited to the following:

- a) The amount (including percentage) of state moneys expended for programs that are evidence based;
- b) A descriptive list of all programs that are evidence-based; and
- c) Specification of supervision policies, procedures, programs, and practices that were eliminated.

The following objectives are MANDATORY for all Cal EMA EBPSP projects. Use these measures, as well as others you and/or the AOC establish to determine how your objectives will be achieved.

Objective #1: Provide the total number of adult probationers (including percentage) on felony probation that will be supervised with evidence-based practices. Data to include, age and sex of probationer, and:

- Number of probationers who successfully complete probation;
- Number of probationers who violate probation and receive additional terms and conditions; and
- Number of probation revocations due to new charges.

Objective #2: Provide the total number of contacts with each active adult probationer per month. Data to include number of contacts:

- made in the field;
- in-person in the office; and
- by phone.

Objective #3: Provide the total number of adult probationers referred to outpatient treatment programs. (Please identify the individual treatment programs/services referred including, but not limited to, drug/alcohol treatment; domestic violence, anger management, job training, family counseling, education, etc.)

Objective #4: Provide the total number of adult probationers referred to a residential treatment program. Data to include:

- number of treatment days provided;
- number of probationers who dropped out;
- number of probationers terminated from residential treatment; and
- number of probationers who successfully completed the program.

Note: All recipients must attempt to meet the prescribed objectives and provide zero statistics on the quarterly progress reports for each of the related outcome measures, where applicable, until such time that all the objectives are met.

C. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, applicants should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to Cal EMA modifications and approval.

Cal EMA requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract from the accomplishment of the objectives and activities of the project.

Note: The following information is provided to assist in the preparation of the budget:

- Strict adherence to required and prohibited items is expected.
- Where the applicant does not budget for a required item, the applicant assumes responsibility.
- Failure of the applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project.

The applicant should refer to the *Recipient Handbook* for additional information concerning Cal EMA budget policy or to determine if specific proposed expenses are allowable. The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the left side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook* or scroll over the “Justice Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*. Should you have additional budget questions, contact the person listed in Part I, B.

1. Budget Narrative

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application preceding the budget pages, describing:

- how the project’s proposed budget supports the Program’s objectives and activities;
- how funds are allocated to minimize administrative costs and support direct services;
- the duties of project-funded staff, including qualifications or education level necessary for the job assignment (this does not take the place of the brief justification required in the line item budget);
- how project-funded staff duties and time commitments support the proposed objectives and activities;
- proposed staff commitment/percentage of time to other efforts, in addition to time allocated to this project;
- the necessity for subcontracts and unusual expenditures; and

- mid-year salary range adjustments.

2. Specific Budget Categories

In Part IV of this RFA, or on our website, you can access Excel spreadsheets for each of the following three budget categories:

a. Personal Services – Salaries/Employee Benefits (Cal EMA 2-106a) (formerly OES A303a)

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must also be budgeted as a part of salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (Cal EMA 2-106b) (formerly OES A303b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (i.e., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office

supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500), under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during a Cal EMA site visit, a monitoring visit, or an audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

Budget for anticipated training related to the project. The applicant must include sufficient per diem and travel allocations for person(s) to attend required Cal EMA training conferences or workshops.

All applicants must budget for a minimum of one Cal EMA sponsored training session during the grant year. Applicants must also include sufficient per diem and travel allocations for persons to attend all required Cal EMA training conferences or workshops listed under the Programmatic Instructions. If several staff will be attending the same event, budget for the total number of people. Unless otherwise notified, a minimum of two project staff from each participating agency must attend each training conference.

c. Equipment (Cal EMA 2-106c) (formerly OES A303c)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

NOTE: The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the **whole dollar amount only** (no cents) on each line item and the match amount (if applicable) in the correct column of the Budget Category form. You may add extra rows if necessary. The spreadsheets automatically calculate the subtotal at the end of each budget category and provide the total of the three spreadsheets at the bottom of the Equipment page. The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

D. APPLICATION APPENDIX

The application appendix provides Cal EMA with additional information from the applicant to support components of the application. The following must be included:

- **Organizational Chart:**
The Organizational Chart should clearly depict the structure of the applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.
- **Operational Agreement (OA):**
OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period. These documents must demonstrate a formal system of networking and coordination with
- Project Summary (Cal EMA 2-150)
- Noncompetitive Bid Request (Cal EMA 2-156)
- Out of State Travel Request (Cal EMA 2-158)
- Project Service Area Information (Cal EMA 2-154)
- Computer and Automated Systems Purchase Justification Guidelines (Cal EMA 2-157)

EVIDENCE - BASED PROBATION SUPERVISION PROGRAM

PART III – POLICIES AND PROCEDURES

NOTE: The applicant is strongly encouraged to review the following sections before preparing the application.

- A. FINALIZING THE GRANT AWARD AGREEMENT
 - B. ADMINISTRATIVE REQUIREMENTS
 - C. BUDGET POLICY
-

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. Cal EMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, Cal EMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

Cal EMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

Cal EMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by Cal EMA.

b. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures and Request for Funds (Cal EMA 2-201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, Cal EMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, Cal EMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, Cal EMA will notify the applicant prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the recipient's planning purposes.

1. The *Recipient Handbook* (RH)

The *Recipient Handbook* is accessible on our website at www.CalEMA.ca.gov. Look on the left side of the Cal EMA homepage under 'Quick links' for the Criminal Justice Programs Recipient Handbook or scroll over the "Justice Programs" tab, select "Grant Applications & Proposals (RFAs/RFPs)," and then look under the "Related Links" section for "*Recipient Handbooks*". The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the RFA instructions.

3. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, Cal EMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures/Request for Funds (*RH 6300*)

Community-based organizations (CBOs) shall submit a monthly Report of Expenditures and Request for Funds (Cal EMA 2-201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form Cal EMA 2-201 will result in the withholding of funds and may result in the recommendation to Cal EMA's Executive Secretary for termination of the grant award.

5. Technical Assistance/Site Visits (*RH 10300*)

Funded projects are assigned a Cal EMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the recipient in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring Requirements (*RH 10400*)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the Recipient Handbook. Projects will be monitored on a random or as-needed basis.

7. Audit Requirements (*RH 8100*)

To safeguard Cal EMA assets and to ensure that all funds are accounted for, Cal EMA requires that organizations receiving Cal EMA grant award(s) be audited in accordance with Recipient Handbook section 8100.

8. Source Documentation (*RH 10111*)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFA instructions. Recipients will be required to have written job descriptions on file for positions funded by Cal EMA detailing specific grant-related activities to achieve project objectives.

9. Bonding Requirements (*RH 2160*)

Private community-based organizations and American Indian organizations are required to obtain and send to Cal EMA a notarized copy of a blanket fidelity bond or equivalent

insurance contract applicable to officials and employees of Cal EMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the “State of California, California Emergency Management Agency” and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

10. Copyrights, Rights in Data, and Patents (*RH 5300-5400*)

Cal EMA owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the Recipient Handbook.

C. BUDGET POLICY

This document summarizes information on Cal EMA Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the Recipient Handbook at www.CalEMA.ca.gov. Look on the left side of the Cal EMA homepage under “Quick links” for the *Criminal Justice Programs Recipient Handbook*, or scroll over the “Justice Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for *Recipient Handbooks*.

1. Supplanting Prohibited (*RH 1330*)

Grant funds must be used to supplement existing funds for program activities and *not replace* funds appropriated for the same purpose. If selected for funding, a written certification must be provided to Cal EMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1330 of the *Recipient Handbook*.

2. Project Income (*RH 6610*)

Project income, such as client fees and fees for services provided by the recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFA instructions.

3. Methods of Contracting and/or Procurement (*RH 3400*)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by Cal EMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000 which requires prior Cal EMA approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a narrative describing the competitive bid process or a sole-source procurement (noncompetitive bid) request will be required. Cal EMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if Cal EMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Requirements (*RH 6500*)

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the *Recipient Handbook*.

5. Travel Policies (*RH 2236*)

The following is Cal EMA's current travel policy:

a. Travel and Per Diem (*RH 2236*)

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBOs)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel and Per Diem Policy (*RH 2236.2*)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for Cal EMA approval.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110.00, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140.00, plus applicable taxes.

5) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 55.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

6) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt.
Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff (*RH 4500*)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of a project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the Operating Expenses category of the grant budget.

7. Independent Contractor/Consultant Services (*RH 3710*)

Consultant services are provided on a contractual basis by individuals or organizations not directly employed by the applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency

a. Rates (3710.1)

The maximum rate for independent contractors is \$250.00 per hour (excluding travel and subsistence costs). Compensation over \$250.00 per hour requires additional justification and **prior approval** from Cal EMA.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government will not provide its services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (*RH 3710.2*)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for

this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for such witness fees is \$250.00 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project's total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s), including a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT); Medical Doctor (MD)];
- rate of pay per hour including documentation of a survey of the availability of similar consultants, the current "going rate," and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation); and
- justification why this cost cannot be paid with other funds [attach the justification to Cal EMA 2-106 (formerly OES A303b)].

8. Facility Rental (*RH 2232*)

Up to \$21.00 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

a. Rental Space for Training and Counseling Rooms (*RH 2232.1*)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs and not reimbursed by another source.

9. Rented or Leased Equipment (*RH 2233*)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by Cal EMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (*RH 2220*)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct

project costs (excluding equipment) may be budgeted by applicant for indirect costs if allowable by the funding source.

11. Audits (*RH 8150*)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse for costs associated with audits. Recipients expending \$500,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Circular A-133 and are allowed to utilize federal grant funds to budget for the audit costs.

Specifically, the allowable audit costs are as follows:

- if the total project cost is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total project cost is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

12. Equipment (*RH 2300*)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the recipient for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by Cal EMA is required.

b. Computers and Automated Equipment (*RH 2340*)

1) Community-Based Organizations (*RH 2342.1*)

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Prior approval by Cal EMA is required.

2) Units of Government (*RH 2342.2*)

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. Cal EMA will evaluate the proposed purchase on the basis of grant-related need. Cal EMA must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (*RH 2341*)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the applicant will be sent instructions for preparing the justification.

c. Automobiles (*RH 2331*)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase, as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by Cal EMA program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (*RH 2240*)

a. Bonuses and Commissions (*RH 2241*)

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program

b. Lobbying (*RH 2242*)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

c. Fundraising (*RH 2243*)

Cal EMA grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d. Real Property and Improvements (*RH 2244*)

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFA instructions.

e. Interest (*RH 2245*)

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

f. Charges, Fees, and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

g. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.

h. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

i. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

j. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

k. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFA instructions.

l. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

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RFA FORMS

Click on one of the links below to access the corresponding form. Save the form to your hard drive before filling it out. To access the complete list of forms go to www.CalEMA.ca.gov, scroll over the “Justice Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” then look under the “Related Links” section for “Forms”. Or, paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

[Checklist](#)

[Coversheet](#)

[Grant Award Face Sheet and Instructions \(Cal EMA 2-101\)](#)

[Project Contact Instructions and Information \(Cal EMA 2-102\)](#)

[Signature Authorization and Instructions \(Cal EMA 2-103\)](#)

[Recovery JAG Special Conditions Certification](#)

[Certification of Assurance of Compliance – Recovery Act \(Cal EMA 2-104j\)](#)

[Federal Grant Funds Log \(Cal EMA 2-105\)](#)

[Application Budget \(Cal EMA 2-106\) – Budget Narrative \(Cal EMA 2-107\)](#)

[Budget Forms \(Excel spreadsheet format\) – b. Without Match](#)

[Project Narrative \(Cal EMA 2-108\)](#)

[Project Summary \(Cal EMA 2-105\)](#)

Additional Forms:

[Sample Operational Agreement \(Cal EMA 2-161\)](#)

[Noncompetitive Bid Request Checklist \(Cal EMA 2-156\)](#)

[Out-Of-State Travel Request \(Cal EMA 2-158\)](#)

[Computer and Automated Systems Purchase Justification \(Cal EMA 2-157\)](#)

[Reporting Alien Convictions \(Cal EMA 2-159\)](#)

[California Map \(Cal EMA 2-316\)](#)

EVIDENCE - BASED PROBATION SUPERVISION PROGRAM**GLOSSARY OF TERMS**

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet (Cal EMA 2-101) is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals. The Recipient was formerly referred to as the “Grantee”.
Application	Once selected for funding, the original proposal plus any additional forms as required by Cal EMA becomes the application. This application, once signed by Cal EMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement (Cal EMA 2-101).
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency’s workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender. The objective of the EEOP is to ensure nondiscrimination in all areas of employment (recruitment, hiring, promotions, etc), and in the delivery of services and benefits.
Equal Employment Opportunity (EEO) Checklists	An EEO Checklist is a document used by program staff while conducting site/monitoring visits. The checklists (A and B) were prepared to assist Cal EMA in verifying that recipients are in compliance with State and Federal Civil Rights Laws.
Evidence-Based Program	An evidence-based program for adult probationers is a program where empirical evidence has been shown to reduce rates of reoffending, rearrest, or re-incarceration for program participants or that the program is considered a best practice in the criminal justice literature.
Grant Award Agreement	The signed final agreement between Cal EMA and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.

Grant Funding Period	The period of time, determined by the Request for Proposal (RFA) or the Request for Application (RFA), which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Cal EMA 2-101) (formerly OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the Cal EMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization (aka Community-Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501(c)(3) for recipients of faith-based organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <ol style="list-style-type: none"> (1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501(c)(3). (2) A statement from a State taxing body or the State Secretary of State certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual: (3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or (4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
On Site	Refers to the location of operation of the grant award recipient. If

	multiple sites exist, the site that provides the project recipients with program direction qualifies as the “on site location.”
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles that serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to Cal EMA that specified the priorities, strategies, and objectives of the applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Recipient Handbook</i> is accessible at www.CalEMA.ca.gov . Look on the left side of the Cal EMA homepage under ‘Quick links’ for the Criminal Justice Programs Recipient Handbook or scroll over the “Justice Programs” tab, select “Grant Applications & Proposals (RFAs/RFPs),” and then look under the “Related Links” section for “ <i>Recipient Handbooks</i> ”. The <i>Recipient Handbook</i> was previously called the “ <i>Grantee Handbook</i> ”.
Request for Application (RFA)	The Request for Application (RFA) is a noncompetitive process issued by Cal EMA to obtain applications from applicants previously selected for funding.
Request for Proposal (RFP)	The Request for Proposal (RFP) is issued by Cal EMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term “noncompetitive bid”.

Sole Source	This term has been replaced by the term "noncompetitive bid".
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of Cal EMA funds. Supplanting occurs when a Recipient deliberately replaces its non-Cal EMA funds with Cal EMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, Cal EMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.
USC	United States Code